

Data Element Descriptions for State of Iowa ARRA Reporting System

September 3, 2009

Overview

This document provides information on the data elements in State's centralized reporting system, which will fulfill our reporting responsibilities required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA). The data elements are grouped into three main categories: Post-Award, Report Request and Report. Post-Award data elements are one-time data elements that are entered into the database upon the receipt of a federal award and/or the execution of a grant, loan or contract to a sub-recipient or vendor. Report Request and Reporting data elements are those data elements that require periodic updates (i.e. quarterly), the first group pertains to those completed by the initiator of a report, and the second are completed by the person required to report. What data elements definitions and required elements may differ based on the type of recipient receiving an award. Recipient types, as defined below:

- **Prime recipients** are non-Federal entities that receive Recovery Act funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government. Only state agencies directly receiving the federal award should be denoted as prime recipients.
- **Internal recipients** are either:
 - State agencies who receive an award or transfer of funds from another state agency; or
 - Sub-units of other recipients done to facilitate management of ARRA funding or to reflect major programs or project types being covered by ARRA funding.
- **Sub-recipients** are any non-state entities that expend Federal awards received from another entity to carry out the mission of the Federal program. Sub-recipients do not include individuals who are beneficiaries of Federal programs.
- **Vendors** are dealers, distributors, merchants or other sellers providing goods or services that are required by the program, where goods and services are similar to those purchased by many other organizations, are provided within a competitive environment, and are ancillary to the federal program being implemented. Prime, Internal and Sub Recipients may all have vendors.

Key:



Data element is system-generated



Data element is system-generated, but may require user association.



Data element is for prime recipients only.



Data element is for prime recipients and internal recipients who are state agencies.



Data element for prime recipients only and for awards primarily dedicated to infrastructure projects.

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Post-Award Data Elements

Post-award data elements cover information that need to be entered once. This information should be entered once award agreements have been signed and executed by appropriate parties whether they are grants, loans or contracts. Prime recipient awards must be initiated by the Department of Management. It is the responsibility of the state agency receiving the award to provide Scott Vander Hart with the required post-award data elements. Persons responsible for an award are responsible for creating sub-awards associated with their award. The person assigned responsibility of a sub-award should complete data elements not known by the person creating sub-award and validate others already provided. Revisions can be made and saved if any of the information needs corrections or revisions.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Award ID	The grant or other identifying number assigned by the awarding federal agency.	Parent Award ID plus department number or org number.	The contract, grant or loan number assigned by the awarding organization.		Value entered must be unique among all awards.
Parent Award ID	NA	Derived from the Award ID of the parent award. User association may be required in Excel templates, as Parent Award ID is only provided on first row.			Value must be an Award ID in the system.
CFDA Number	The Catalog of Federal Domestic Assistance (CFDA) number provided on the award document or provided by the Federal awarding agency.	NA	NA	NA	Value selected from searchable Catalog of Federal Domestic Assistance and validated against it.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Funding Agency Code	The four digit code for the federal agency responsible for funding/distributing funds to ARRA recipients.	NA	NA	NA	Value selected from searchable list of federal agency codes and validated against it.
Awarding Agency Code	The four digit code for the federal agency responsible for administering the award on behalf of the funding agency.	NA	NA	NA	Defaults to Funding Agency Code value. Value selected from searchable list of federal agency codes and validated against it.
Funding Agency Name	Derived from Funding Agency Code.	Derived from Recipient Name associated with the parent award.			
Funding TAS	The Agency Treasury Account Symbol (TAS) that identifies the funding Program Source.	NA	NA	NA	Value selected from searchable OMB TAS list and validated against it.
Award Type	This specifies the type of award. "G" = Grant, "C" = Contract, "L" = Loan, or "I" = Internal transfer. Other types of federal financial assistance not specifically identified above should be reported under the award type of Grant. Internal transfer is only applicable from any recipient to internal recipient.				
Award Amount	For grants, this is the total amount of dollars authorized in the award document. For loans, this is the face value of the loan. For contracts, this is the total amount obligated. For internal recipients, this is the amount appropriated, specified in an interagency agreement, or budgeted if reflecting a sub-unit of a any recipient.				

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	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Award Date	Enter the date of award as provided on the award documentation. For internal transfers, this could be the beginning of the fiscal year.				
Award Description	The title and a description of the overall purpose of the federal award received. For example, "community development," "comprehensive community mental health services to adults with a serious mental illness," etc.	NA	NA	NA	
Recipient Type	<p>Selection of recipient type. "P" for prime recipient, an "I" for internal, an "S" for sub-recipient, or "V" for vendor. Recipient types, as defined below:</p> <ol style="list-style-type: none"> 1) Prime recipients are non-Federal entities that receive Recovery Act funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government. Only state agencies directly receiving the federal award should be denoted as prime recipients. 2) Internal recipients are either: <ol style="list-style-type: none"> i) State agencies who receive an award or transfer of funds from another state agency; or ii) Sub-units of other recipients done to facilitate management of ARRA funding or to reflect major programs or project types being covered by ARRA funding. 3) Sub-recipients are any non-state entities that expend Federal awards received from another entity to carry out the mission of the Federal program. Sub-recipients do not include individuals who are beneficiaries of Federal programs. 4) Vendors are dealers, distributors, merchants or other sellers providing goods or services that are required by the program, where goods and services are similar to those purchased by many other organizations, are provided within a competitive environment, and are ancillary to the federal program being implemented. Prime, Internal and Sub Recipients may all have vendors. 				
Recipient Name	The name of the organization receiving the award as listed on the contract, or grant or loan agreement.				
Recipient DUNS Number	The 9-digit Data Universal Numbering System (DUNS) number listed on the federal award document.	NA	The 9-digit Data Universal Numbering System (DUNS) number for the location receiving the award.		DUNS number must be provided for all Prime Recipient awards, and Sub-Recipient awards

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	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
					where the Award Amount is greater than or equal to \$25,000.
Recipient Contact (E-Mail)	E-mail address of the person responsible for the award's execution, or assigned responsibility for reporting on the award.				E-mail address is compared to each logged-in user for access control.
Agency	The I/3 department number where applicable.		NA	NA	Values must be valid I/3 department numbers.
Recipient Account Number	The I/3 program code(s) where applicable.		For sub-recipients and vendors of state agencies (prime and internal recipients), this is the I/3 vendor code(s) where applicable.		Values must be a valid program code or vendor code in the I/3 system.
Recipient Address	Physical location of the recipient: street address, city, state and zip code.				Compare against address validation service.
Recipient Congressional District	U.S. Congressional district derived from zip code provided in Recipient Address.	NA	Same as Prime.	NA	Provided through address validation service.
Project Name	Short name for the project or program funded.				

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Infrastructure	Indicates whether the primary intent of the federal award, as specified by the federal funding agency is to support infrastructure projects. "Y" = yes, funding is primarily for infrastructure projects; or "N" = no, funding is not for infrastructure projects.	NA	NA	NA	
Project Description	A brief narrative description of the program, project or service. The description should highlight the program, project or service's overall purpose and expected results. The purpose and results may be stated in broad terms if a program covers a broad array of projects. Significant or key deliverables and, if appropriate, units of measures should be outlined.			A description of the product and/or service provided by the vendor.	
Activity Code	The appropriate numeric or alphanumeric codes. The North American Industry Classification System (NAICS) <u>six-digit</u> codes are required for infrastructure projects (Drill down chart: http://www.census.gov/cgi-bin/sssd/naics/naicsrch?chart=2007). The core Nonprofit Program Classification (NPC) system codes are required for non-infrastructure projects (Definitions: http://nccsdataweb.urban.org/PubApps/nteeSearch.php?gQry=all-core&codeType=NPC). Classification is based on the type of project, activity or service provided, rather than the recipient of the funds.	NA	NA	NA	Value selected from searchable NAICS or NPC system codes lists. NAICS list is used when Infrastructure = "Y". Uploads validated against appropriate list.
Activity Description	Description derived from the Activity Code.	NA	NA	NA	
Project Grant Period Start	The date on which the awarded project, or groups of projects may begin, as set forth in the award document, or internal budget document where appropriate.				

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Project Grant Period End	The date on which the awarded project, or groups of projects may end, as set forth in the award document, or internal budget document where appropriate.				Date must be after the Project Grant Start Period.
Reporting Frequency	Denotes whether reporting for the award will be required on a quarterly, monthly, or some custom frequency.				
Place of Performance (POP) Address	Physical location of the primary place of performance: street address, city, state and zip code. If the award covers a broader regional area, consider using the zip code of the city hall, county seat, school district office, or zip code associated with the recipient if recipient is within the same general geographic location.			NA	Zip code must be provided. POP City derived from zip code. POP state always equals "IA" and POP country always equals "US".
POP Location Code	Codes associated with various geographic regions including: cities, counties, Area Education Agencies, Local Education Agencies (school districts), Council of Governments, Regional Transit Authorities, Area Agencies on Aging, Community Action Agencies, Judicial Districts, Drug Task Forces, and local Community Empowerment areas.			NA	Compare against location table to validate user input.
POP Location Title	Name of city, county or regional area derived from the POP Location Code.			NA	
POP Location Type	Location type categorizing the various geographic regions outlined in POP Location Code. Derived from POP Location Code.			NA	
POP Congressional District	U.S. Congressional district derived from zip code provided in POP Address.			NA	Provided through address validation service.
Infrastructure Contact Name	Contact person familiar with the decision making process used to select projects funded with ARRA dollars.	NA	NA	NA	Required if Infrastructure = "Y"

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Infrastructure Contact Organization	Name of contact's organization.	NA	NA	NA	Required if Infrastructure = "Y"
Infrastructure Contact E-mail	E-mail of listed contact.	NA	NA	NA	Required if Infrastructure = "Y"
Infrastructure Contact Phone	Phone number of the appropriate contact.	NA	NA	NA	Required if Infrastructure = "Y"
Infrastructure Contact Ext	Optional phone number extension of the appropriate contact.	NA	NA	NA	
Infrastructure Contact Address	Mailing address of the appropriate contact.	NA	NA	NA	Required if Infrastructure = "Y"
Infrastructure Rationale	Rationale for funding the infrastructure investment with funds made available under the Recovery Act. Explanation of how the infrastructure investment will contribute to one or more purposes of the Recovery Act.	NA	NA	NA	Required if Infrastructure = "Y"

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Report Request Data Elements

Report Request data elements are those data elements that require periodic updates (i.e. quarterly). Persons responsible for an award's execution are responsible for initiating report requests for their sub-awards, and completing report request data elements. Report requests for top-level federal awards will be initiated by the Department of Management.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Report ID	Unique identifier for a report record. Automatically assigned by the system.				
Parent Report ID	If a report is a delegated piece of a higher-level report, this field points to the immediate parent record.				
Award ID	The award to which the report is related.				
Report Description	Description of the report, e.g., "3Q 2009 Reporting Cycle for Iowa Arts Jobs Preservation Grants", "Mid-Summer Status Report for Green Project Reserves", etc – as specified by the person initiating the report request. Description should be clear so that person responsible for reporting will know what it is for, as they may have multiple reports to complete.				
Create Date	Date the report request was created.				Date based on upload of report request file or submittal of a report request.
Due Date	Date report is due as for review and approval as specified by the person initiating the report request.				Due date must be earlier than due date of parent report and/or report for the parent award.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Reporting Period End Date	The person initiating the report indicates the end date of the reporting period (i.e. the date for financial transactions and Cumulative Hours Worked to be reported through). The frequency of required reporting is quarterly.				For quarterly reports, the following calendar quarter reporting period end dates shall be used: 6/30; 9/30; 12/31; or 3/31. For final reports, the reporting period end date shall be the end date of the project/grant period.
Approval Date	Date on which the report was approved by the person requesting the report.				A report may not be edited after this date, unless the report is unapproved.
Initiated By	E-mail of the person requesting the report.				Defaults to the E-mail of the logged-in user.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Reported By	E-mail of the person responsible for completing the report.				Except for delegated pieces of a higher-level report, should default to the Recipient Contact on the award for which the report is for.
Report Status	N = New, not yet started; O = Open, being gathered; C = Completed, pending approval; A = Approved, no further changes				Status updated based on system workflow.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Total ARRA Disbursed	NA	Cumulative total payments, amounts of cash disbursed to the internal recipient, sub-recipient or vendor as of the reporting period end date. This value is treated as the target amount for the report. Where appropriate, total payments to the internal recipient, sub-recipient, and vendor will be derived from I/3.			Where possible value should be based on total payments as of the date prior to the report Create Date. Value should be subsequently updated to reflect total payments as of the end of the report period end date. Value should not exceed the Award Amount. Flag value if less than Total ARRA Disbursed in most recent approved report for the award.
Can Delegate	Person requesting report indicates “Yes” or “No” to determine whether the reporter can delegate the requested report to one or more sub-entities, colleagues or subordinates.				
Can Allow Delegation	Person requesting report indicates “Yes” or “No” to determine whether delegates of the reporter can further delegate reporting. This is used to accommodate deep org structures.				Only used when Can Delegate is yes. Delegates may not delegate back to the reporter.

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Report Data Elements

Report data elements are those data elements that require periodic updates (i.e. quarterly). Report data elements must be completed and submitted by either the person responsible for an award's execution, the person responsible for the parent award or a delegate. Report data elements will be reviewed and approved by the person requesting the report. Elements provided as part of a report request will be available for reference purposes, and will be included as part of the report record.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Final Report	Final Project Report Indicator (i.e. no future reports) – a “yes” or “no” as specified by the person submitting the report. Check “yes” only if this is the final report for the project / grant period specified for the award.				Report requests should be prohibited for awards with “yes” on an approved report.
Project Status	Overall percentage of project completion (0-100%), in whole numbers, as specified by the person completing the report. Where appropriate, the percentage should be based on defined project milestones.			NA	Except for delegated pieces of a higher-level report, the project status should be flagged if project completion is not within +/- 10% of the ARRA expenditures expressed as a percentage of the award amount.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Project Status Description	NA	Narrative description of significant activities funded, services performed and/or deliverables achieved during the reporting period.		NA	
Total ARRA Received	The amount of Recovery Act funds received through draw-down, reimbursement, invoice or internal transfer. Where available, this value will be derived from I/3 to reflect funds received through the end of the reporting period end date.		The amount received through reimbursement or invoice by the end of the reporting period end date.	NA	Value should not exceed award amount. Flag value if not equal to Total ARRA Disbursed or is less than Total ARRA Received in most recent approved report for the award.
Total ARRA Expenditure	The total expenditure made by the recipient. Where available, this value will be derived from I/3 to reflect funds expended through the end of the reporting period end date.		The total expenditure made by the recipient by the reporting period end date.	NA	Value should not exceed award amount. Flag value if less than Total ARRA Expenditure in most recent approved report for the award.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Officer Reporting Required	<p>Indicator for required officer reporting. If yes, then officer data is required for this report. Per OMB guidance to answer yes the following conditions were met:</p> <p>(i) In the recipient's preceding fiscal year, the recipient received 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and sub-grants) and cooperative agreements; and \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and sub-grants) and cooperative agreements; and</p> <p>(ii) The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.</p>			NA	
Total Number Individual Sub-awards	Total Number of Sub-awards to individuals. Where available, this value will be derived from I/3. Required only for internal recipients who are state agencies.		NA	NA	Count records where payments are made to individuals.
Total Amount Individual Sub-awards	Total Amount of Sub-awards to individuals. Where available, this value will be derived from I/3. Required only for internal recipients who are state agencies.		NA	NA	Sum total payments of records where payments are made to individuals.
Total Number Small Vendor	Total Number of payments to vendors less than \$25,000/award. Required only for internal recipients who are state agencies.		NA	NA	Count payments where payments are made to entities, where Award Amount is less than \$25,000, and Recipient Type is null or "V"

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Total Amount Small Vendor	Total Amount of payments to vendors less than \$25,000/award. Required only for internal recipients who are state agencies.		NA	NA	Sum payments where payments are made to entities, where Award Amount is less than \$25,000, and Recipient Type is null or “V”.
Total Number Small Sub-awards	Total Number of Sub-awards to ENTITIES less than \$25,000/award. Required only for internal recipients who are state agencies.		NA	NA	Count entities where payments are made to entities, where Award Amount is less than \$25,000, and Recipient Type is “S”.
Total Amount Small Sub-awards	Total Amount of Sub-awards to ENTITIES less than \$25,000/award. Required only for internal recipients who are state agencies.		NA	NA	Sum payments where payments are made to entities, where Award Amount is less than \$25,000, and Recipient Type is “S”.
Multiple Job Creation Records per Report					
Job Creation Item ID	Unique identifier for each job creation record, which is associated to the Report ID. Automatically assigned by the system. Multiple records should be created if different occupational groupings are funded by ARRA and/or different full-time work schedule are reported.				

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Report ID	Unique identifier for a report record. Automatically assigned by the system. User may be required in Excel templates to associate the Report ID with each job creation record as Report ID is only provided on one row.				
Cumulative Hours Worked	Cumulative total of ARRA-funded work hours within the specific Standard Occupational Classification minor group, and with the same full-time work schedule. Hours reported should be for employees of the recipient who are directly charged to ARRA supported projects/activities.			Not required for the purchase of standard products	Flag value if less than Cumulative Hours Worked in most recent approved report for the award.
Weekly Full-Time Hours Scheduled	Number of hours in typical full-time weekly schedule with the recipient. Typical full-time weekly schedule is assumed to be 40 hours/week.			typically part of a vendor's existing inventory and available at time of purchase; or for orders of specialized equipment / product where the total order amount is below \$5,000.	Flag value if Weekly Full-Time Hours scheduled is not 40.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
SOC Minor	Code associated with most appropriate 2010 Standard Occupational Classification (SOC) minor group. Describes the type of occupations funded with ARRA.				Value selected from a list of SOC Minor Groups and validated against it.
SOC Major	2010 SOC major group derived from SOC Minor.				
FTE	Full-Time Equivalents. Calculated field – Cumulative Hours Worked / (Weekly Full-Time Hours Scheduled * (Reporting Period End Date – Project Grant Period Start (in weeks)))				Where Final Report is “Yes” use Project Grant Period End instead of Reporting Period End Date
Highly-Compensated Officers per Report					
Entity Officer ID	Unique identifier for each highly-compensated officer record, which is associated to the Report ID. Automatically assigned by the system.			NA	
Report ID	Unique identifier for a report record. Automatically assigned by the system. User may be required in Excel templates to associate the Report ID with each entity officer record as Report ID is only provided on one row.				
Officer Name	Name of one of the five most highly compensated officers of the recipient for the calendar year in which the award is awarded.			NA	Only required if Officer Reporting Required is yes.

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Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Officer Compensation	<p>Total compensation of the highly compensated officers listed.</p> <p>“Total compensation,” as defined by OMB, means the cash and noncash dollar value earned by the executive during the sub recipient’s past fiscal year of the following (for more information see 17 CFR 229.402(c)(2)):</p> <ul style="list-style-type: none"> (i) Salary and bonus. (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R. (iii) Earnings for services under nonequity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. (v) Above-market earnings on deferred compensation which are not tax-qualified. (vi) Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds \$10,000. 			NA	Only required if Officer Reporting Required is yes.